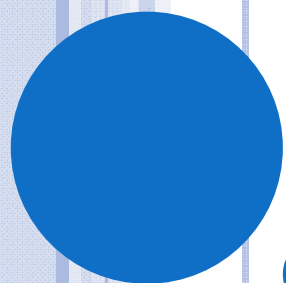




<b>Title</b>	<b>Open Access@HKU: Developments to Date</b>
<b>Author(s)</b>	<b>Palmer, DT; Bacon-Shone, JH</b>
<b>Citation</b>	<b>Intellectual Property, Copyright and Open Access: What do they mean for teaching and scholarly publishing?, The Lingnan University, Hong Kong, 16 March 2012.</b>
<b>Issued Date</b>	<b>2012</b>
<b>URL</b>	<b><a href="http://hdl.handle.net/10722/145800">http://hdl.handle.net/10722/145800</a></b>
<b>Rights</b>	



# OPEN ACCESS@HKU

Developments to Date

David Palmer  
John Bacon-Shone  
The University of Hong Kong (HKU)

## OPEN ACCESS

- “**Open Access (OA)** is the practice of providing unrestricted access via the Internet to peer-reviewed scholarly journal articles. OA is also increasingly being provided to theses, scholarly monographs and book chapters” – Wikipedia.



## WHY OA?

- Research is discovered faster by more people, speeding up the cycle of,
  - Research → publish → research
- Can increase downloads, readership, and citation count, from 50% to 250%
  - One citation is worth US\$50 ~ \$1,300
- Serials crisis, budget crisis, libraries in crisis
  - Cf. 2010, Elsevier had US\$1.1bn in profit; 36% profit margin
- Increased reputation for individual and his institution
- Etc.



## IS OA ALLOWED?

- Elsevier:
- **Can I post my article on the internet?**
- “You can post your version of your article on your personal web page or the web site of your institution, provided that you include a link to the journal’s home page or the article’s DOI and include a complete citation for the article. This means that you can update your version (e.g. the Word or Tex form) to reflect changes made during the peer review and editing process.”



# HOW TO DO OA?

- Green OA

- Self-archiving to personal page
- Institution creates Institutional Repository
  - Accepts deposit from the author
  - Or Institution does...

- Gold OA

- Pay OA publishing charges to publishers for “hybrid” articles



# OPEN ACCESS @ HKU

- 2005: Institutional Repository,
  - “The HKU Scholars Hub”
  - Why? → Open Access
- 2007: Soros Foundation (eIFL) sponsored,
  - Promoting 21<sup>st</sup> Century Scholarly Communication
- 2007: The Hong Kong Open Access Committee
  - <http://openaccess.hk/>
- 2009: HKU Vice-Chancellor signs Berlin Declaration
- Engagement with the faculty,
  - Seminars, email, encouragement, begging, pleading





**THEN, A MIRACLE!**

**2009: KNOWLEDGE TRANSFER  
→ KNOWLEDGE EXCHANGE**





# KE @ HKU

- HKU tradition of knowledge sharing with community
- Established Versitech (commercialization arm) in 1994 and Technology Transfer Office (TTO) in 2006
- UGC expects to see systematic and sustainable changes on how institutions relate to the community and businesses in return for funding
- Institutional commitment – KE is a theme in HKU 2009-2014 Strategic Development Plan



# Inclusive Definition of KE @ HKU

- Engaging, for mutual benefit, with business, government or the public to generate, acquire, apply and make accessible the knowledge needed to enhance material, human, social, cultural and environmental well-being
- Emphasis: Relevant for all disciplines and is a two-way process.



# Evolving Strategies for KE @ HKU

## 2009-2012 triennium

- Annual special funding allocation from UGC used for:
  - Faculties to build up capacity (Faculty KE units last year and webpages this year)
  - KE projects with potential impact (since last year)
  - Strategic projects (Media measure, Open Access, HKU Researcher Pages, HKU Press Digital Initiative, 3 Minute Thesis Competition, Enhance TTO, Measure public engagement)
  - Student KE projects (launched this year)



# Evolving Strategies for KE @ HKU

- Recognition of KE in staffing process (in APA from 2009, Faculty consultation this year for proposed weighting of up to 5% in PRD)
- Faculty KE Awards (launched last year)
- KE Award (Non-Faculty Unit) [launched this year]
- Recognition of KE in Faculty budget resource allocation process (this year)



# Evolving Strategies for KE @ HKU

- Monthly KE lunch seminars to share best practices in Network (since 2009)
- UGC sector-wide events, e.g. KE Conference 2011
- International collaboration, e.g. Joint HKU/Oxford Isis TT Workshop
- Entrepreneurship Academy, workshops on communicating research to the general public, patent drafting





The University of Hong Kong

## The HKU Scholars Hub 香港大學學術庫

[Home](#)[ResearcherPages](#)[Publications](#)[Theses \(HKUTO\)](#)[Grants](#)[Patents](#)[繁 · 簡](#)

The HKU Scholars Hub is the institutional repository of The University of Hong Kong. As a key vehicle of HKU's [Knowledge Exchange Initiative](#), The Hub strives to make HKU authors and their research very visible, with the goal of increasing all forms of collaboration.

Do you want to see your publications in the Hub?

Please **CONTACT US**

### QUICK SEARCH OF THE HUB

Search the author, title, abstract and series fields.

 [> search](#)

### FEATURED SCHOLAR



**Dr Lee, FYS**

· Associate Professor

**Research Interests:**

- Urban Planning
- Sustainable Cities
- Modern Environmentalism

[+ MORE](#)

### HUB NEWS



Feb 2012: New design and software for the Hub. >

Jan 2012: [Open Access Publishing for HKU authors, free! or nearly so.](#) >

Dec 2011: [HKU 100 Research Excellence -- Interviews with scholars.](#) >

### RELEVANT LINKS

- [HKU's Top 1%](#)
- [HKU Authors: OA Publishing](#)
- [Usage Stats & Downloads](#)
- [HKU most cited articles in Scopus](#)
- [HKU research on Web of Science](#)
- [HKU Research & Scholarship](#)
- [HKU Libraries OA Policy](#)
- [HK Open Access Committee](#)
- [Open Access Tracking Project](#)





The University of Hong Kong

The HKU Scholars Hub 香港大學學術庫



Home

ResearcherPages

Publications

Theses (HKUTO)

Grants

Patents

繁 · 簡

## HKU ResearcherPage: Chye, ML



### Profile



### Publications

- Articles (59)
- Conf. Papers & Presentations (66)
- Books & Book Chapters (7)
- Patents (13)



### Achievements

- Media Contact Directory (5)
- Community Service (2)
- Honours, Awards & Prizes (4)
- Supervision of Research Postgraduate Students (35)
- HKU Committee Appointments (13)



### Grants

- Principal Investigator (48)
- Co-Investigator (5)



### Bibliometrics

- External Metrics
- Internal Metrics

### HKU Researcher



**Tel:** 2299 0319

**Office:** KA 7S14

**Dept:** School of Biological Sciences

**Faculty:** Science

## Professor Chye, Mee Len

蔡美蓮

- Professor

### Research Interests:

- Stress-tolerant crops
- Plant bioreactors
- Plant lipids & isoprenoids
- Agricultural biotechnology
- Plant molecular biology

### My URLs:

- [Personal Page](#)



Email Alert



RSS Feed



## MANDATES ?

- (US) National Institute of Health
  - (UK) Wellcome Trust
  - European Research Council
  - Australian Research Council
  - Harvard
  - MIT
  - Etc.
- 
- Why not UGC also ?
  - Why not HKU also ?



## ALLEN PRESS

- “**If** HK government funded research is required to be made open access after completion, then you may place the articles in your university repository. **If** government funded research does not need to be open access, then you will need to post the abstracts with a link to the journal site.”



# NATURE PUBLISHING GROUP (NPG)

- Happy to do so!
- Please send us the UGC Policy.



# HKU UNIVERSITY RESEARCH COMMITTEE

- 2010, New requirement for HKU staff
- Once approved for publication, staff must deposit immediately an author's manuscript to ROS / Hub
- Journal articles, books, & book chapters
- Hub Admin will check policy, and hold in dark archive until publisher allows
- How to implement?
- ➔ Staff evaluations: Academic Portfolio of Achievement (APA).
- 2012 ?



## MORE DEVELOPMENTS @ HKU

- 2011: Intellectual Property Rights Policy
  - Approved by University Council in June 2011
  - 5.1.1 b “**Staff grant** the University a royalty free, perpetual, **non-exclusive license** to use the work for non-commercial purposes. [...]”
  - 5.1.1 c “... **Staff shall procure** that the University is granted the right to re-use the scholarly work [...] for non-commercial purposes, including [...], **posting** the work on [...] **The HKU Scholars Hub.**”
  - 5.1.3 b “The **student** grants the University..., etc.



# COPYRIGHT, AUTHOR'S ADDENDUM, ETC.

- What does it mean?
  - “© The Author”
- The right to be known as the author
- Reproduction?
- Change format? (ie., digitize the print?)
- Derivatives, Mash-ups?
- Public display?
- Modification of original work?
- Use for teaching?



## PUBLISHER'S LICENSE

- Not all or nothing
- You can negotiate
- Which rights do you want to retain?
  - Use in your teaching?
  - Self-archiving?
  - In institutional repository?
- Negotiating points
  - Now, or 6 months embargo?
  - Published version, or “author’s manuscript” ?
- ➔ Author’s Addendum
  - <http://www.arl.org/sparc/author/addendum.shtml>





“The University of North Carolina at Chapel Hill encourages authors to use the SPARC Author Addendum as it fulfills a pressing need that all researchers and scholars have. The SPARC Author Addendum empowers researchers and authors to advocate for themselves in their relationship with their publisher, and has the potential to revolutionize the scholarly communication system.”

-- Sarah Michalak,  
University Librarian



## THE HUB: MORE THAN AN IR

- Current Research Information System (CRIS)
- Research Information Management System (RIMS)
- Identity management
- Reputation management



# THE REPUTATION OF THE UNIVERSITY?



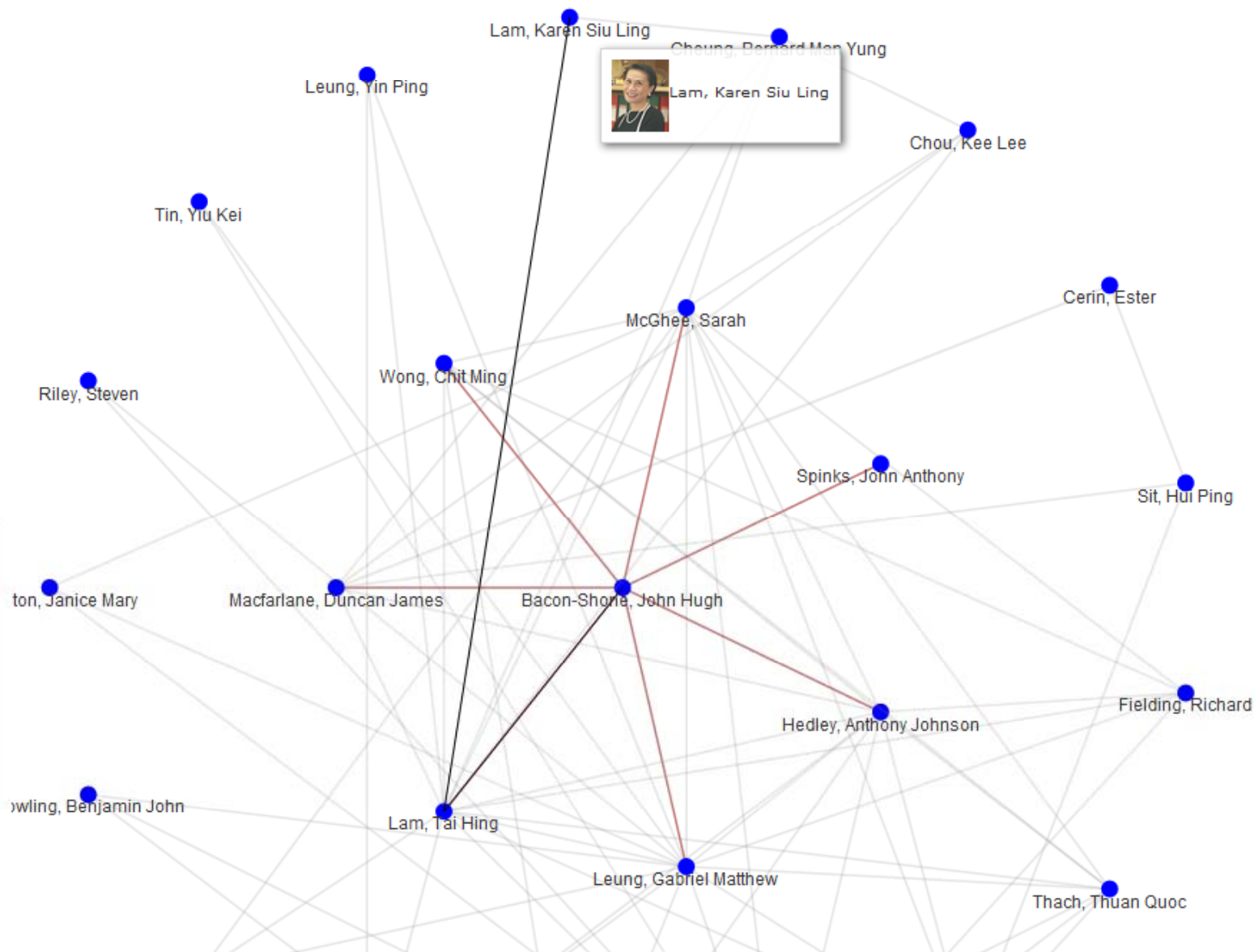


Professor Bacon-Shone, John H.

白景崇  
[View Profile](#)

- Associate Dean of Science
- Director of Social Science Research Centre
- Associate Director of Knowledge Exchange Office
- Chairman of Human Research Ethics Committee (Non-Clinical Faculty)

Tel: 3921  
Office: KT 40  
Dept: Social Science Research Centre  
Faculty: Social Science






Is it working?



← → ↻ ↗ 🌐 repositories.webometrics.info/toprep\_inst.asp?offset=50

🌐 New Tab 📄 The Chronicle of Hi... 🌐 www.arl.org/bm~d... 🎓 50 Programação | SIBiU...

# Ranking Web of World Repositories

January 2012 

home

> home > Top institutional repositories

**Data**

About Us

About the Ranking

Top Repositories

Top USA & Canada

Top Europe

Top Institutionals

Top Portals







Methodology

Best Practices

**Information**

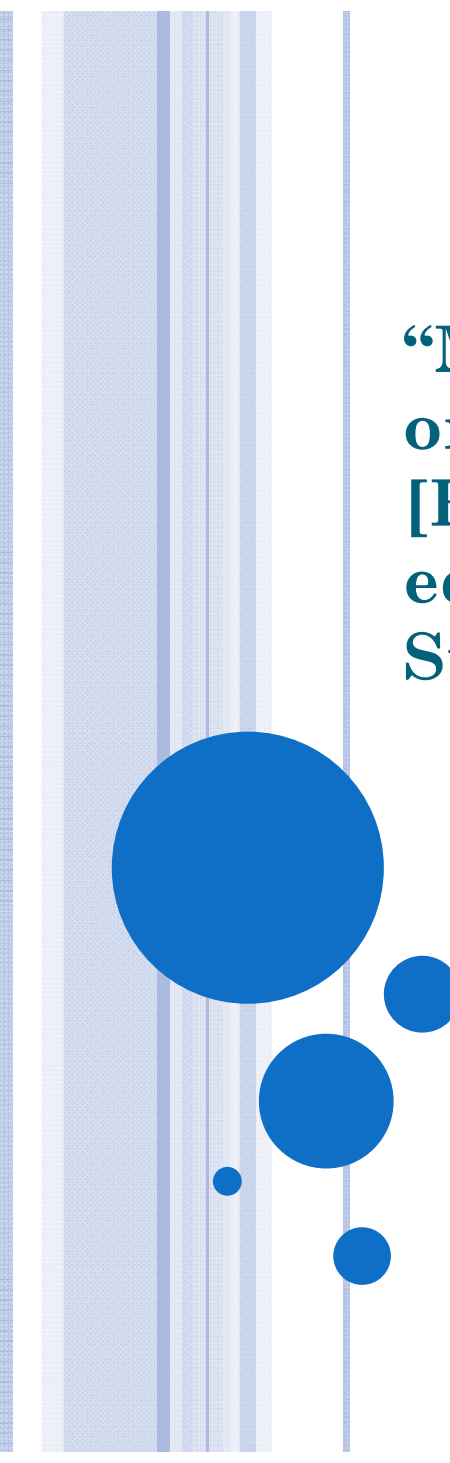
**Top Institutional Repositories**

First | Previous | Next | Last | Repositories 51 to 100 of 1172

<u>WORLD RANK</u>	<u>REPOSITORY</u>		COUNTRY	SIZE	VISIBILITY	POSITION RICH FILES	SCHOLAR
50	University of Hong Kong Scholars Hub			55	138	34	152
52	Open Research Online			210	61	339	100
53	HAL Institut National de Physique Nucleaire et de Physique des Particules			23	92	194	355
54	Goteborg University Open Archive			360	105	56	58
55	National Tsing Hua University Institutional Repository			116	147	100	27

Jan 2010	Jan 2011	Jul 2011	Jan 2012
217	191	164	50





**“Many thanks for your works!!! Based on information of my [ResearchPage], I was chosen as an editor for a new book "Tumor Suppressor Genes" last year.”**

**– An HKU author  
February 2012**



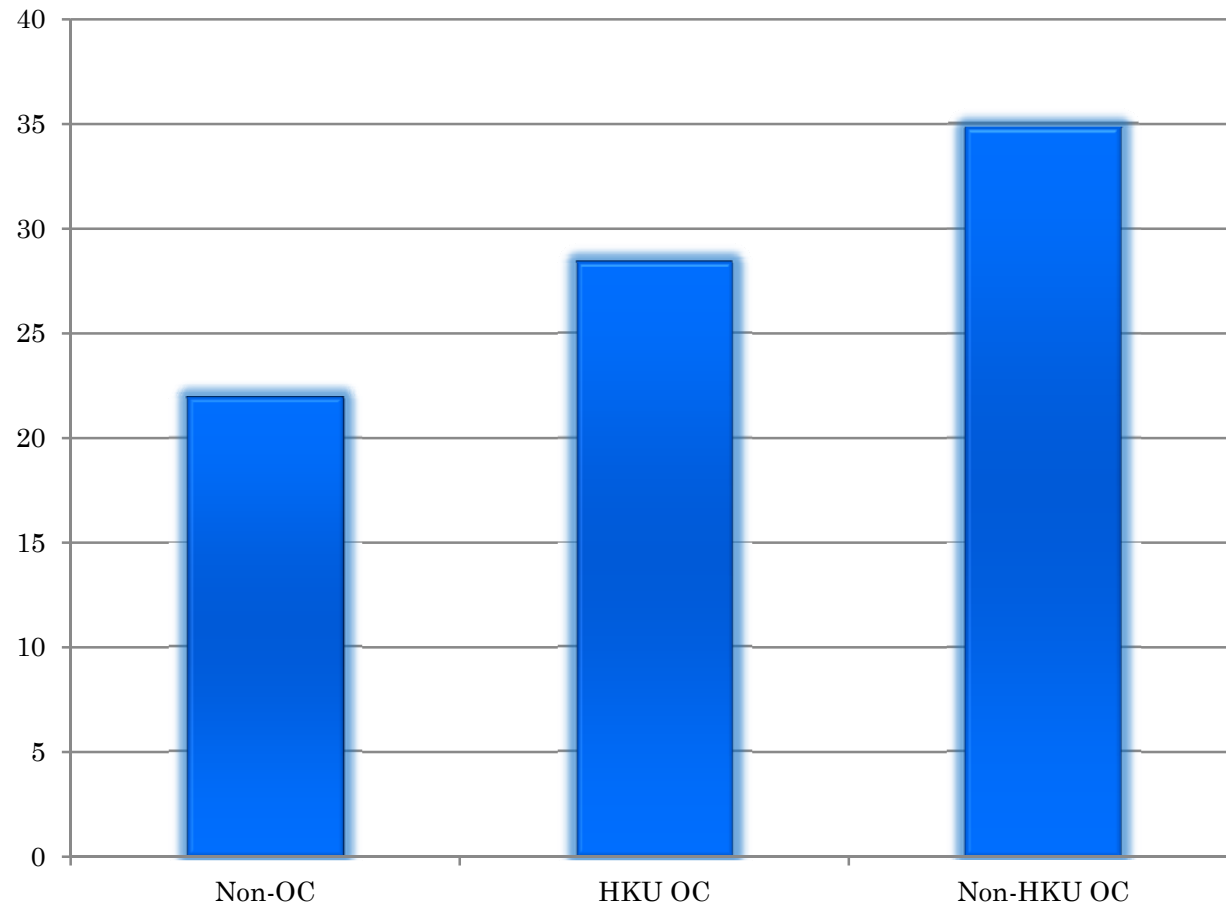


# SPRINGER OPEN CHOICE

- What is it?
  - All papers in (nearly) all Springer journals within 12 months are OA from day one on Springer journal websites
- Did it work?
  - Downloads: See next slide Citations: Don't know yet
- Was it cost-effective?
  - Arguable (75% discount, but already paid access in HKU)
- Was it fair?
  - No (many academics may not want to publish in Springer journals)
- Will HKU continue?
  - No



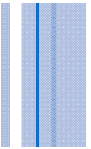
## Downloads/article/month



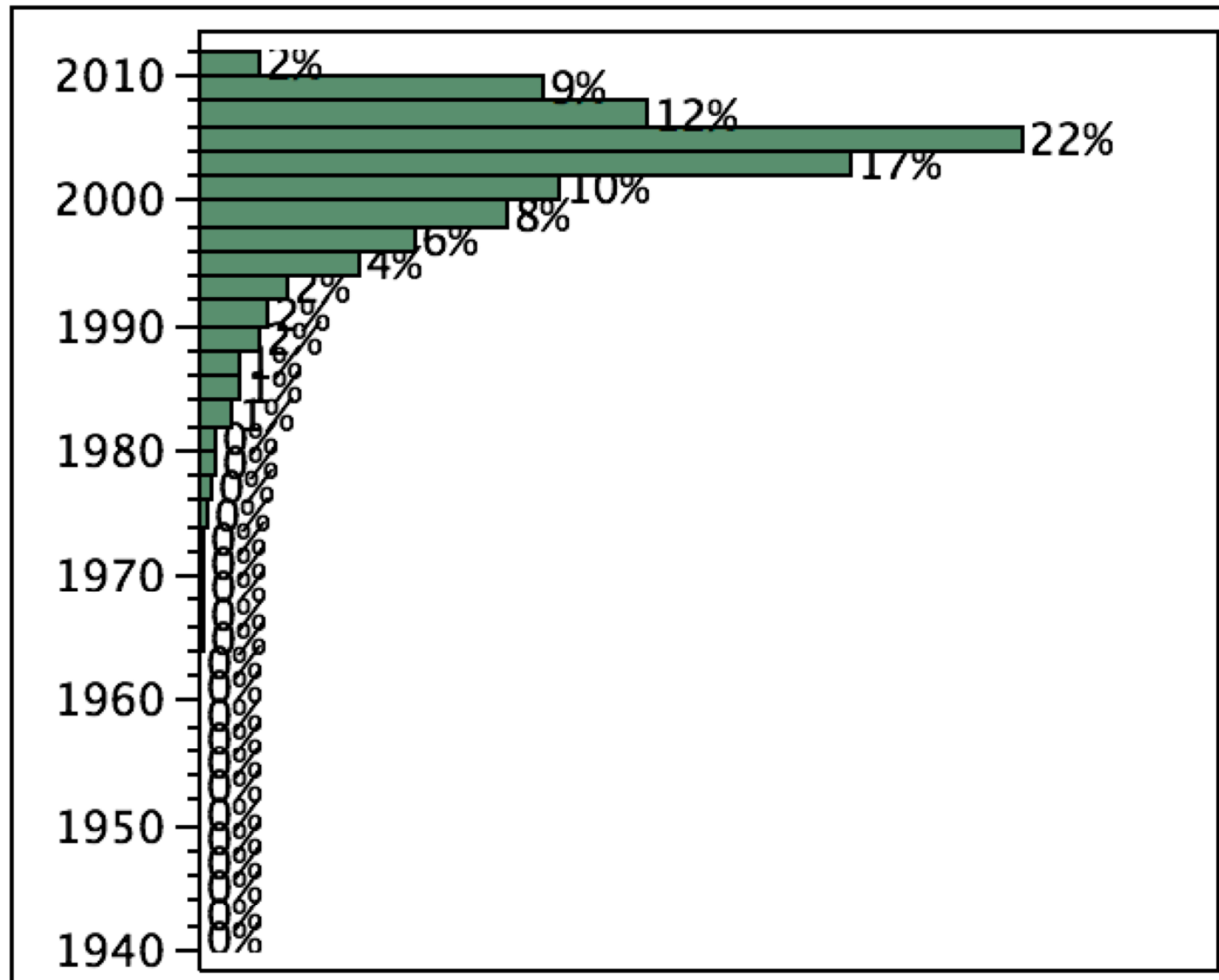
## THESIS DOWNLOADS

- Look at last 6 years (05-06 to 10-11)
- 96k downloads (more than 18k theses had a download) from 180 countries
- Oldest thesis downloaded is from 1941
- 74 theses with at least 500 downloads
- 1 thesis with more than 16k downloads - James Wong thesis on Cantonese pop music

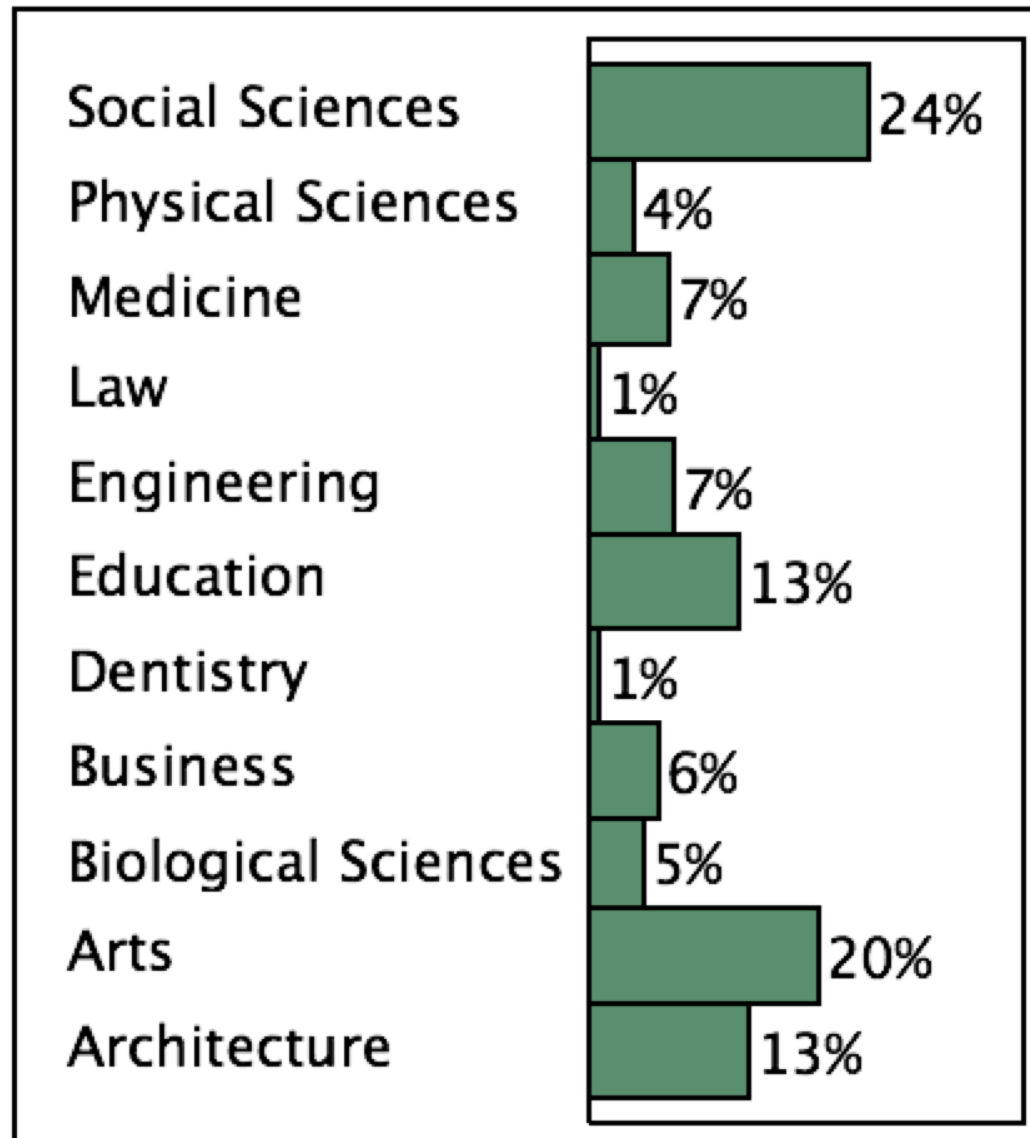




## Graduate Year

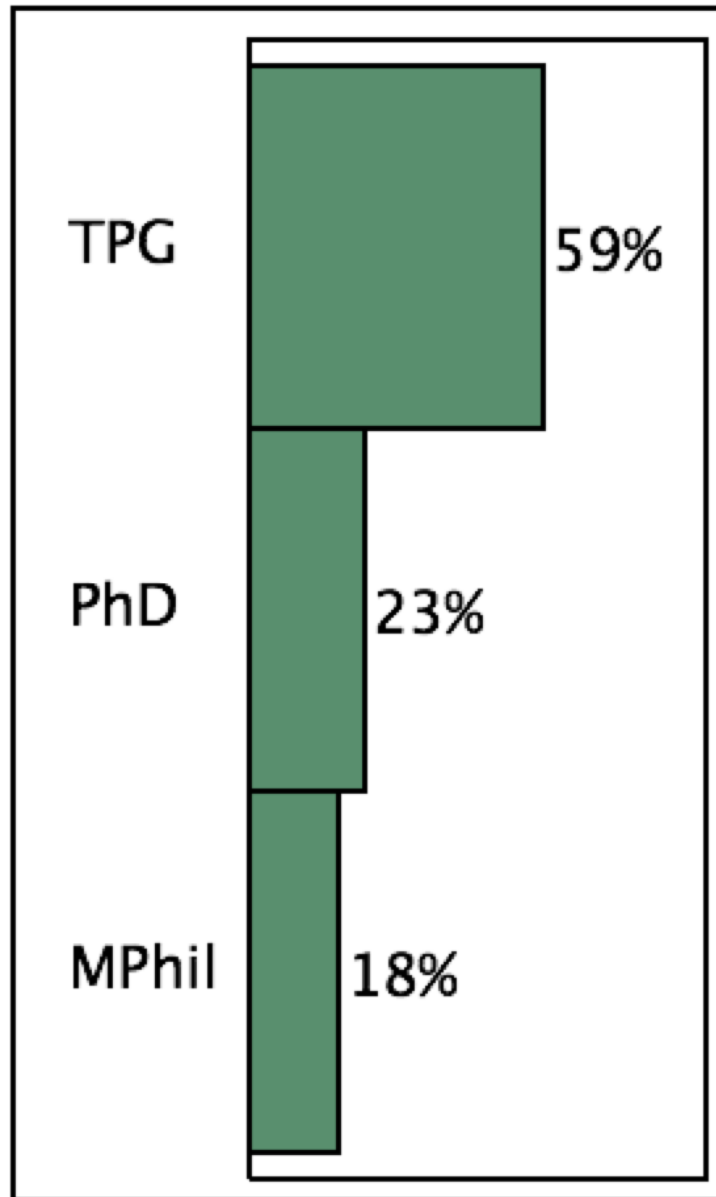


## Discipline

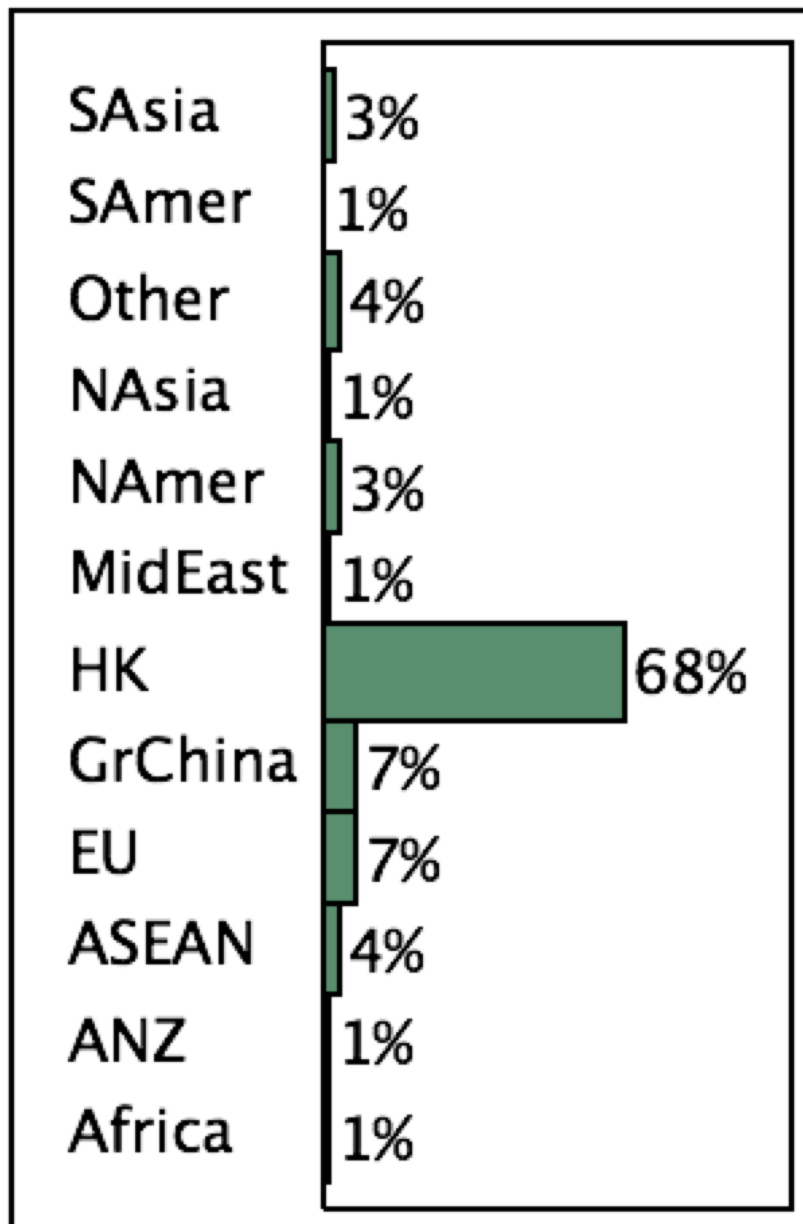




# Degree Type



## Download Region







- PPT & PDF are licensed under a Creative Commons license. Attribution – you must give the original author credit. For more information, please visit,
- <http://creativecommons.org/licenses/by-nc-sa/3.0/hk/>
- Archived at,  
<http://hdl.handle.net/10722/145800>

